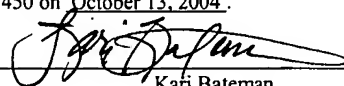




PATENT

Attorney Docket No. A-70028-2/MSS/TJH (463035-964)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Yoshihide Senzaki Serial No.: 10/766,148 Filing Date: January 27, 2004 For: <i>Multilayer High K Dielectric Films and Method of Making the Same</i>	Examiner: To Be Assigned Art Unit: 2811 <u>CERTIFICATE OF MAILING</u> I hereby certify that this correspondence and its listed enclosures is being deposited with sufficient postage with the United States Postal Service as First Class Mail addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on <u>October 13, 2004</u> . Signed  Kari Bateman
---	--

RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION
FILED UNDER 37 C.F.R. 1.53(b)

Mail Stop Missing Parts
Commissioner for Patents
P. O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application, Filed
Under 37 C.F.R. 1.53(b), mailed June 18, 2004, enclosed are the following documents:

- 1) Transmittal (1 pg.);
- 2) Fee Transmittal (1 pg.);
- 3) Copy of Notice to File Missing Parts mailed June 18, 2004 (2 pgs.);
- 4) Petition for Extension of Time – Two Months (1 pg.);
- 5) Check for \$600.00: late declaration surcharge (\$130.00), recordation fee (40.00),
and petition for two-months extension of time (\$430.00);
- 6) Executed Declaration for Patent Application (37 C.F.R. § 1.63), (3 pgs.);
- 7) Recordation Cover Sheet and executed Assignment (3 pg.);
- 8) Executed Power of Attorney by Assignee and Exclusion of Inventor/s under
37 C.F.R. § 1.32 and Statement under 37 C.F.R. § 3.73(b), (1 pg.);
- 9) Letter to Draftsperson and 4 Sheets of Formal Drawings consisting of Figs. 1-5; &
- 10) Return Postcard.

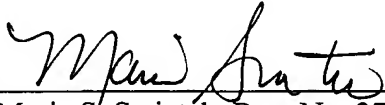
Serial No.: 10/766,148

Filing Date: January 27, 2004

The Commissioner is hereby authorized to charge any additional fees, including extension fees, to Deposit Account 50-2319 [Order No. A-70028-2/MSS/TJH (463035-964)].

Respectfully submitted,

DORSEY & WHITNEY LLP

By 

Maria S. Swiatek, Reg. No. 37,244
Attorney for Applicants

Customer No.: 32940

DORSEY & WHITNEY LLP

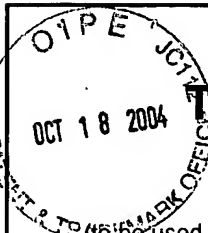
Four Embarcadero Center - Suite 3400

San Francisco, California 94111-4187

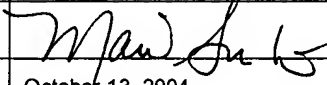
Tel.: (650) 494-8700

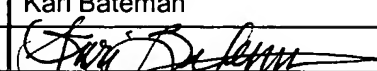
Fax: (650) 494-8771

PA-1079488

 <h1 style="text-align: center;">TRANSMITTAL FORM</h1> <p style="text-align: center;">(to be used for all correspondence after initial filing)</p>		Application No.	10/766,148
		Filing Date	January 27, 2004
		First Named Inventor	Yoshihide Senzaki
		Examiner Name	To Be Assigned
		Group Art Unit	2811
Total Number of Pages in This Submission	19	Attorney Docket No.	A-70028-2/MSS/TJH (463035-964)

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s) (Figs. 1-5) and Cover Sheet to Draftsperson	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input checked="" type="checkbox"/> Petition for Extension of Time – Two Months (1 pg.)	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Executed Power of Attorney (1 pg.)	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Executed Declaration for Patent Application (3 pgs.), copy of Notice to File Missing Parts
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	mailed June 18, 2004 (2 pgs.), check no. 6834 in the amount of
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, No. of CD(s) _____	\$600.00, and self-addressed stamped Postcard.
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.53(b) (2 pgs.)		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	Maria S. Swiatek, Esq., Reg. No. 37,244 DORSEY & WHITNEY LLP 4 Embarcadero Center, Suite 3400 San Francisco, CA 94111 Telephone: 650-494-8700 Facsimile: 650-494-8771	Customer Number 32940
Signature		
Date	October 13, 2004	

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with Sufficient postage as first class mail in an envelope addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22312-1450 on this date: _____			
Typed or printed name	Kari Bateman		
Signature		Date	October 13, 2004

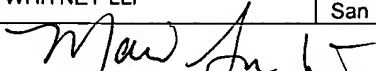


APPLICATION FEE TRANSMITTAL SHEET (FY 2004)

Complete if Known	
Application No.	10/766,148
Filing Date	January 27, 2004
First Named Inventor	Yoshihide Senzaki
Group Art Unit	2811
Examiner Name	To Be Assigned
Atty. Docket Number	A-70028-2/MSS/TJH (463035-964)

METHOD OF PAYMENT (Check One)				FEE CALCULATION (Continued)			
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account No.: <u>50-2319</u> Deposit Account Name: <u>DORSEY & WHITNEY LLP</u> <input type="checkbox"/> Charge any additional fee required under 37 C.F.R. 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status (see 37 C.F.R. 1.27)				3. ADDITIONAL FEES			
2. <input checked="" type="checkbox"/> Check Enclosed				Large Entity Fee	Small Entity Fee	Fee Description	Fee paid
FEE CALCULATION				50	25	Surcharge - late provisional filing fee or cover sheet	
1. BASIC FILING FEE				130	65	Surcharge - Late nonprovisional filing fee or oath	130.00
Large Entity Fee	Small Entity Fee	Fee Description		180	180	Submission of IDS	
160	80	<input type="checkbox"/> Provisional Filing Fee		40	40	Recording each patent assignment per property (times number of properties)	40.00
790	395	<input type="checkbox"/> Utility Filing Fee					
350	175	<input type="checkbox"/> Design Filing Fee					
790	395	<input type="checkbox"/> Reissue Filing Fee					
Subtotal (1)				\$0.00			
2. EXTRA* CLAIM FEES							
Number Claims	Prior	Extra	Fee from Below*			Fee Paid	
Total	- 20	=	x 18				
Indep.	- 3	=	x 43				
Multiple Dependent Claims =							
Subtotal (2)				\$0.00			
*Calculation of Extra Claim Fees							
Large Entity Fee	Small Entity Fee	Fee Description					
18	9	Claims in excess of 20					
88	44	Independent claims in excess of 3					
300	150	Multiple dependent Claim					
88	44	Reissue independent claims over original patent					
18	9	Reissue claims in excess of 20 and over original patent					
				110	55	Extension for reply within first month	
				430	215	Extension for reply within second month	430.00
				980	490	Extension for reply within third month	
				1,530	765	Extension for reply within fourth month	
				2,080	1,040	Extension for reply within fifth month	
				790	395	Submission After Final 1.129	
				340	170	Notice of Appeal	
				340	170	Filing a brief in support of an appeal	
				300	150	Request for oral hearing	
				110	55	Terminal Disclaimer Fee	
				130	130	Petitions to the Commissioner	
				50	50	Petitions related to provisional applications	
				1,370	685	Utility/Reissue Issue Fee (including advance copies)	
				490	245	Design Issue Fee (inc. advance copies)	
				790	395	Request for Continued Examination (RCE)	
				300	300	Publication fee for early, voluntary, or normal publication	
				300	300	Publication fee for re-publication	
				110	55	Petition to Revive - unavoidable	
				1,370	685	Petition to Revive - unintentional	
				OTHER FEE (specify):			
				Subtotal (3)		\$600.00	
				Total Amount of Payment:			
				\$600.00			

Submitted by:

Name: Maria S. Swiatek	Reg. No.: 37,244	Telephone: 650-494-8700
DORSEY & WHITNEY LLP	Four Embarcadero Center, Suite 3400 San Francisco, California 94111-4187	Customer Number 32940
Signature: 		Date: October 13, 2004

PATENT



Docket No.: A-70028-2/MSS/TJH (463035-964)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Yoshihide Senzaki

Serial No: **10/766,148**

Filed: **January 27, 2004**

Title: ***Multilayer High-k Dielectric Films
and Method of Making the Same***

Examiner: **Unassigned**

Art Unit No: **2811**

San Francisco, Ca 94111

Date: **October 13 2004**

SUBMISSION OF FORMAL DRAWINGS

Commissioner for Patents
Attention: Official Draftsperson
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Enclosed herewith are four (4) sheets of formal drawings consisting of Figs. 1-5 for the above-identified patent application.

The Commissioner is authorized to charge any underpayment of fees or credit any overpayment to counsel's Deposit Account No. 50-2319 (A-70028-2/MSS (463035-964)).

Respectfully submitted,

Date: October 13, 2004

By: 

Maria S. Swiatek
Reg. No. 37,244

Customer No.: **32940**
DORSEY & WHITNEY LLP
Four Embarcadero Center, Suite 3400
San Francisco, CA 94111-4187
Telephone: (650) 494-8700
Facsimile: (650) 494-8771



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/766,148	01/27/2004	Yoshihide Senzaki	A-70028-2/MSS/TJH

CONFIRMATION NO. 1972

FORMALITIES LETTER



OC000000012986134

32940
 DORSEY & WHITNEY LLP
 INTELLECTUAL PROPERTY DEPARTMENT
 4 EMBARCADERO CENTER
 SUITE 3400
 SAN FRANCISCO, CA 94111

Date Mailed: 06/18/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$65** for a Small Entity

- **\$65** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts
 Commissioner for Patents
 P.O. Box 1450
 Alexandria VA 22313-1450

10/20/2004 MAHME1 00000065 10766148

02 FC:1051

130.00 OP

A copy of this notice MUST be returned with the reply.

Alie Resfany

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE